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# 2019–20 Every Student Succeeds Act Comprehensive Support and Improvement County Office of Education Application for Funding

**Due: February 28, 2020**

## Application Overview

### Purpose

Section 1003 of the Every Student Succeeds Act (ESSA) provides resources and assistance to local educational agencies (LEAs) to locally develop and implement a plan to improve student outcomes in schools that meet the criteria for Comprehensive Support and Improvement (CSI). School planning and LEA support and assistance for each school receiving comprehensive support is incorporated into the Local Control and Accountability Plan (LCAP) and School Plan for Student Achievement (SPSA) processes.

Consistent with the California statewide system of support’s focus on increasing the capacity of LEAs to meet the needs of all students, the Budget Act of 2019 appropriated ESSA, Section 1003 funds to county offices of education (COEs) for the purpose of supporting the statewide system of technical assistance for schools that meet the criteria for CSI.

For Federal guidance on Supplement not Supplant for school improvement, see question 29a, page 21 to 22 located at <https://go.usa.gov/xdcPV>.

**The California Department of Education (CDE) is accepting applications from COEs with an LEA or LEAs in their county that serve schools that meet the criteria for CSI.**

### Statutory Authority

ESSA Section 1003–School Improvement (<https://go.usa.gov/xdcPF>), pages 9 through 11.

ESSA Section 1111(d)(1)–Comprehensive Support and Improvement (<https://go.usa.gov/xdcEg>), pages 33 through 35.

Budget Act of 2019 Chapter 23 Section 2 Item 6100-134-0890 Schedule (1) located at <https://go.usa.gov/xdcEb>.

### Grant Information

The Budget Act of 2019 appropriated $10 million in ESSA, Section 1003 funding to COEs for the purpose of supporting the statewide system of technical assistance and support. This application covers a grant period beginning March 25, 2020, and ending September 30, 2021. ESSA, Section 1003 funding is available to each eligible COE that submits an approvable application and allocated on the basis of a formula.

### Eligibility Requirements

An applicant must be a COE with at least one LEA in its county that serves school(s) that meet the criteria for CSI.

Under the ESSA, the state must identify schools in need of additional assistance based on various criteria. This requirement went into effect for the first time in 2018–19. Schools were again identified in January 2020 for CSI based on the 2019 California School Dashboard.

Schools are eligible for CSI if they are a public high school with a graduation rate below 68 percent or at least the lowest-performing 5 percent of Title I schools. CSI criteria and program information are located at <https://www.cde.ca.gov/sp/sw/t1/csi.asp>.

### Allowable Activities and Costs

School planning and LEA assistance for each school that meets the criteria for CSI will be incorporated into the LCAP and SPSA processes. COEs must provide technical assistance and support, including review and approval of the CSI prompts in the LEA LCAP Plan Summary for each LEA in its county that serves schools that meet the criteria for CSI.

If ESSA, Section 1003 funds for CSI are used to implement actions/services to meet a goal articulated in the LCAP, those CSI funds must be included in the LCAP. ESSA, Section 1003 funds for CSI that are distributed from the LEA to the school must be included in the SPSA. CSI interventions/strategies/activities must align to the goals, actions, and services identified in the LEA’s LCAP.

Under the ESSA, CSI plans are required to be evidence-based. Section 8101(21)(A) of the Elementary and Secondary Education Act, as amended by the ESSA, defines an evidence-based intervention as being supported by *strong evidence, moderate evidence, promising evidence,* or evidence that *demonstrates a rationale.* ESSA, Section 1003 funds require the use of “evidence-based” interventions that meet higher levels of evidence. The table below lists ESSA’s top three levels of evidence.

**Demonstrate a statistically significant effect on improving student outcomes:**

| Evidence Level | Description |
| --- | --- |
| Level 1: Strong Evidence | Based on at least one well-designed and well-implemented experimental study |
| Level 2: Moderate evidence | Based on at least one well-designed and well-implemented quasi-experimental study |
| Level 3: Promising Evidence | Based on at least one well-designed and well-implemented correlational study with statistical controls for selection bias |

The United States Department of Education’s non-regulatory guidance on evidence-based interventions is located at <https://go.usa.gov/xdcEU>.

Funds authorized under this grant must be spent on the following activities:

1. Support LEAs to meaningfully address specific provisions and CSI prompts in the LEA LCAP Plan Summary.
2. Review and approve the LEA LCAP CSI prompts in the Plan Summary.

Consistent with California's system of support as described at <https://www.cde.ca.gov/sp/sw/t1/csss.asp> to help LEAs and their schools meet the needs of each student they serve, with a focus on building local capacity to sustain improvement and to effectively address disparities in opportunities and outcomes, the COE may use its ESSA, Section 1003 funding to:

* Building capacity
* Partnering with stakeholders
* Conducting needs assessments and root cause analysis
* Selecting and implementing evidence-based interventions/strategies/activities
* Using data and outcomes to monitor and evaluate improvement efforts
* Reviewing/identifying and addressing, through implementation of the CSI plan, resource inequities, which may include a review of LEA- and school-level budgeting

The COE will only be reimbursed for actual work performed.

Federal planning requirements are established in the California *Education Code* Section 64001 (<https://go.usa.gov/xdcE6>) and the Approved LCAP Template 2019 located at <https://go.usa.gov/xdcEz>.

Plan instructions for the LCAP and SPSA are located at <https://www.cde.ca.gov/re/lc/>.

CSI program requirements and information are located at <https://www.cde.ca.gov/sp/sw/t1/csi.asp>.

### **Disallowable** Activities and Costs

The use of federal funds, including ESSA, Section 1003 funds must be consistent with the Office of Management and Budget’s (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. OMB information is located at <https://www.grants.gov/web/grants/learn-grants/grant-policies/omb-uniform-guidance-2014.html>.

For Federal guidance on Supplement not Supplant for school improvement, see question 29a, page 21 to 22 located at <https://go.usa.gov/xdcPV>.

### Grant Reporting Requirements

Actual expenditures for each performance period within the grant period shall be reported to the CDE as part of regular grant management and administration. The table below details reporting information and timelines.

| **Report Name** | **Reporting Data** | **Performance Period** | **Reporting Due Date** |
| --- | --- | --- | --- |
| Report 1 | * Budget Revisions (BR) * Expenditures (E) | March 25, 2020, to June 30, 2020 | July 15, 2020 (BR) July 31, 2020 (E) |
| Report 2 | * Budget Revisions (BR) * Expenditures (E) | July 1, 2020, to October 31, 2020 | November 15, 2020 (BR) November 30, 2020 (E) |
| Report 3 | * Budget Revisions (BR) * Expenditures (E) | November 1, 2020, to February 28, 2021 | March 15, 2021 (BR) March 31, 2021 (E) |
| Report 4 | * Budget Revisions (BR) * Expenditures (E) | March 1, 2021, to June 30, 2021 | July 15, 2021 (BR) July 31, 2021 (E) |
| Final Report and Grant Evaluation | * Budget Revisions (BR) * Expenditures (E) * Grant Performance Report | July 1, 2021, to September 30, 2021 | October 15, 2021 (BR) October 31, 2021 (E) |

COE expenditures will be submitted for each required report. When expenditure amounts claimed for object codes are in excess of 10 percent of the last approved budget, a project budget revision request is required to be submitted. Budget revision requests require CDE approval and are due no later than fifteen business days prior to the expenditure reporting due date. Budget revision requests must be submitted using the Grant Management and Reporting Tool (GMART) at <https://www3.cde.ca.gov/gmart/gmartlogon.aspx>.

In addition to expenditure data, the Final Report must include a Grant Performance Report. The CDE will provide additional guidance on the final reporting requirements by Spring 2020. If the CDE does not receive the required reports, funding may be delayed or the CDE may bill the COE to recover funds already allocated.

### Apportionments

The first apportionment is 25 percent of the total COE allocation and is based on an approved 2019‒20 ESSA CSI COE Application for Funding. Subsequent apportionments for each grant performance period are based on claimed expenditures less prior cumulative payments.

Note: Reported expenditures are used for the purpose of calculating the COE’s apportionment. The use of federal funds must be consistent with the OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; ESSA requirements; and requirements in the 2019‒20 ESSA CSI COE Application for Funding.   
  
The acceptance and approval of reported expenditures does not preclude the CDE in any way from conducting program monitoring or audits.

The CDE will process payments approximately one month after the final date of each reporting period.

### Grant Monitoring

COEs that receive ESSA, Section 1003 funds for CSI will be monitored through the CDE’s Federal and Program Monitoring process.

### Application and Funding Results Timeline

| **Activity** | **Due Date** |
| --- | --- |
| Funding Profile Posted to the CDE Web Page | January 2020 |
| 2019–20 ESSA CSI COE Application for Funding Release Date | February 5, 2020 |
| 2019–20 ESSA CSI COE Application for Funding Webinar | February 6, 2020, at 10 a.m. |
| 2019–20 ESSA CSI COE Application for Funding Due to CDE | February 28, 2020, by 4 p.m. |
| 2019–20 ESSA CSI COE Application for Funding Review by CDE Staff | March 2020 |
| Funding Results and Schedule of Apportionments Posted to the CDE Web Page | April/May 2020 |

### Technical Assistance

The CDE will conduct a guidance webinar to support the completion of the 2019–20 ESSA CSI COE Application for Funding. The webinar will be conducted on February 6, 2020, at 10 a.m. For log on details, please visit the CSI web page located at <https://www.cde.ca.gov/sp/sw/t1/csi.asp>.

### Application Process

The 2019–20 ESSA CSI COE Application for Funding is a web-based application that includes five sections: (1) General Assurances, Certifications, Terms, and Conditions; (2) COE Applicant Information; (3) Narrative Responses (4) Project Budget; and (5) Signatures and Submission.

In order to receive ESSA, Section 1003 funding, each eligible COE must complete and submit the 2019–20 ESSA CSI COE Application for Funding to the CDE by the date specified in the Application and Funding Results Timeline. The COE will receive email confirmation upon submission. The CDE will review each COE application.

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## Section 1: General Assurances, Certifications, Terms and Conditions

General assurances, certifications, terms, and conditions are requirements of applicants and sub-recipients as a condition of receiving funds. The signed grant application submitted to the California Department of Education (CDE) is a commitment to comply with the general assurances, certifications, terms, and conditions associated with the grant.

### General Assurances and Certifications

The general assurances and certifications are available on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp>. Applicants do not need to sign and return the general assurances and certifications with the grant application. Instead, applicants must download the general assurances and certifications to keep them on file and available for compliance reviews, complaint investigations, or audits.

### Terms and Conditions

The 2019–20 Every Student Succeeds Act (ESSA) Comprehensive Support and Improvement (CSI) County Office of Education (COE) Application for Funding must be electronically signed by the authorized designee of the COE and submitted to the CDE using the web-based application.

The first apportionment will be processed upon review and approval of the 2019–20 ESSA CSI COE Application for Funding. Subsequent apportionments will be processed based upon approved expenditures reported by the COE, less prior payments. The final apportionment will be based on final expenditures claimed and a Grant Performance Report.

All funds must be encumbered, expended, and legally obligated within the dates designated and must not exceed the maximum amount indicated in the Apportionment Letter.

The COE must ensure that ESSA, Section 1003 funds are spent as indicated in this application, and agree that funds will be used only to provide technical assistance and support to local educational agencies with the purpose of improving and sustaining student outcomes in schools that meet the criteria for CSI.

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## Section 2: County Office of Education Applicant Information

XYZ County

Preliminary FY 2019 Allocation Amount: $$$

County/District Code 00 00000

NCES: XXXXXXX DUNS: XXXXXXXX

The CDE will prepopulate the COE contact information above. In order to proceed, the COE will be required to confirm the accuracy of this information. If the information is correct, the COE will be allowed to enter the contact information required below. If the prepopulated information is incorrect, the COE will be instructed to contact the School Improvement and Support Office for assistance at 916-319-0833.

Applicant Information can be verified on the California School Directory web page at <https://www.cde.ca.gov/schooldirectory/>.

The Preliminary Fiscal Year (FY) 2019 Allocation Amount for the COE can be verified at <https://www.cde.ca.gov/fg/fo/r16/csicoefundingresults.asp>.

COEs can verify their DUNS number through the Online Public Update for Schools web page located at <https://www3.cde.ca.gov/opuscds/default.aspx>.

COEs will provide the following contact information for the Primary, Secondary, and Fiscal Coordinators. If the COE only has a Primary Grant Coordinator, please duplicate that information for the Secondary Grant Coordinator.

* First and Last Name
* Title
* Phone
* Extension
* Email
* Fax

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## Section 3: Narrative Responses

**Prompt 1:** Describe the county office of education (COE) process for reviewing and approving the Comprehensive Support and Improvement (CSI) prompts in the local educational agency (LEA) Local Control and Accountability Plan (LCAP) Plan Summary. Include details describing how the COE will utilize ESSA, Section 1003 funds to support LEAs to meaningfully address specific provisions of how the LEA will develop, implement, monitor, and evaluate CSI plans in schools identified for comprehensive support. **(Max 2000 characters)**

**Prompt 2:** Describe how the COE will use CSI funds to build the capacity of LEAs to improve school and student outcomes. **(Max** **2000 characters)**

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## Section 4: Project Budget

### Instructions for Completing the 2019–20 Proposed Project Budget

A proposed project budget is required as part of this application. The fiscal year (FY) 2019 grant funds must support the requirements of the grant. All expenditures must be allowable activities and costs as outlined in the 2019–20 Every Student Succeeds Act (ESSA) Comprehensive Support and Improvement (CSI) County Office of Education (COE) Application for Funding. The 2019–20 Proposed Project Budget must be approved by the California Department of Education (CDE).

**Note:** Revised COE allocations will be determined by the first reporting period. At that time, the COE will be required to revise its 2019–20 Project Budget according to the final funding results. Instructions for the revision will be provided to the COE at a later date.

**Grantee Name and Preliminary FY 2019 Allocation Amount**: The name of the COE and preliminary FY 2019 allocation amount is prepopulated for your convenience.

**Object Code**: Section 41010 of the Education Code requires local educational agencies to follow the definitions, instructions, and procedures in the California School Accounting Manual (CSAM). The CSAM Object Codes and Definitions can be found on the CDE CSAM web page located at <https://www.cde.ca.gov/fg/ac/sa/documents/csam2019complete.pdf> on pages 330-2 through 330-13.

**Amount**: Enter the total amount budgeted for each Object Code. Do not leave any fields blank. Enter $0.00 if the COE does not have a budgeted amount in an Object Code. All proposed costs must directly align to and fully support the allowable use of funds described in this application.

**Expenditure Justification**: Provide an expenditure justification for all proposed expenditures within the following Object Codes. The justifications should directly align to the allowable use of funds described in this application and include how the costs are necessary and reasonable to execute the grant requirements:

* 1000s—List the Certificated Personnel title(s), Full Time Equivalent (FTE), and amount funded
* 2000s—List the Classified Personnel title(s), FTE, and amount funded
* 3000s—List the title(s) of Certificated and/or Classified Personnel receiving benefits
* 4000s—List Books and Supplies
* 5000s—List Services and Other Operating Expenditures

**Indirect Cost Rate**: For the 2019–20 indirect cost rates, use the CDE’s approved indirect cost rates found on the CDE Indirect Cost Rates web page at <https://www.cde.ca.gov/fg/ac/ic/>.

**Sub-agreements over $25,000**: Indirect cost guidelines allow that up to $25,000 of each individual sub-agreement may be coded to Object Code 5800, Professional/Consulting Services and Operating Expenditures, with the remainder charged to Object Code 5100—Sub-agreements over $25,000.

**Total Budget Amount**: The Total Budget Amount must match the FY 2019 Preliminary Allocation Amount.

| **County Office of Education** | **FY 2019 Preliminary Allocation Amount** |
| --- | --- |
| [COE name] | [$0.00] |

| **Object Code** | **Amount** | **Expenditure Description** |
| --- | --- | --- |
| 1000–1999 Certificated Personnel Salaries | [$0.00] | [Justification narrative] |
| 2000–2999 Classified Personnel Salaries | [$0.00] | [Justification narrative] |
| 3000–3999 Employee Benefits | [$0.00] | [Justification narrative] |
| 4000–4999 Books and Supplies | [$0.00] | [Justification narrative] |
| 5000–5999 Services and Other Operating Expenditures | [$0.00] | [Justification narrative] |
| 7310 Indirect Cost (2019–20 Indirect Cost Rate) | [$0.00] | n/a |
| 5100 (Sub-agreements over $25,000) | [$0.00] | [Justification narrative] |
| **Total Budget Amount** | [$0.00] | n/a |

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## Section 5: Signatures

### ASSURANCES/CERTIFICATIONS/TERMS/CONDITIONS

**The following statements must be acknowledged:**

* As the duly authorized designee of the applicant, I have read all assurances, certifications, terms, and conditions associated with the 2019–20 Every Student Succeeds Act (ESSA) Comprehensive Support and Improvement (CSI) County Office of Education (COE) Application for Funding and I agree to comply with all requirements as a condition of funding.
* I certify that all applicable state and federal rules and regulations will be observed and that to the best of my knowledge, the information contained in this application is correct and complete.

### SIGNATURE

By signing this application electronically, the County Office Superintendent or authorized designee, agree that their electronic signature is the legally binding equivalent to their handwritten signature. The COE will provide the following information:

* COE Name
* First and Last Name
* Title
* Date
* Email
* Phone Number

The CDE is not able to modify the application information after submission. Incomplete or late applications may delay funding.

California Department of Education  
January 2020